PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY NOTIFICATION OF TRANSMITTAL OF FIXTNOTON & PIPE THE INTERNATIONAL SEARCH REPORT AND MECHNED Prospect House THE WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY, OR THE DECLARATION 8 Fembroke Road 2 5 NOV 2009 Sevenoaks, Kent TN13 1XR GRANDE BRETAGNE E. & F. SEVENO KS (PCT Rule 44.1) Date of mailing (day/month/year) 25/11/2009 Applicant's or agent's file reference FOR FURTHER ACTION See paragraphs 1 and 4 below HRB/P41115WO International application No. International filing date (day/month/year) PCT/GB2009/051135 08/09/2009 Applicant BIOVAIL LABORATORIES INTERNATIONAL (BARBADOS) SRL The applicant is hereby notified that the international search report and the written opinion of the International Searching 1. X Authority have been established and are transmitted herewith. Filling of amendments and statement under Article 19: The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46): When? The time limit for filing such amendments is normally two months from the date of transmittal of the International Search Report. Where? Directly to the International Bureau of WIPO, 34 chemin des Colombettes 1211 Geneva 20, Switzerland, Fascimile No.: (41-22) 338.82.70 For more detailed instructions, see the notes on the accompanying sheet.

4. Reminders

Shortly after the expiration of 18 months from the priority date, the international application will be published by the international Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawai of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90 bis.1 and 90 bis.9, respectively. before the completion of the technical preparations for international publication.

The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect and the written opinion of the International Searching Authority are transmitted herewith. With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices. no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

The applicant may submit comments on an informal basis on the written opinion of the international Searching Authority to the International Bureau. The International Bureau will send a copy of such comments to all designated Offices unless an international preliminary examination report has been or is to be established. These comments would also be made available to the public but not before the expiration of 30 months from the priority date.

Within 19 months from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later); otherwise, the applicant must, within 20 months from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of 30 months (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the PCT Applicant's Guide, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the International Searching Authority

European Patent Office, P.B. 5818 Patentlaan 2 NL-2280 HV Bijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo ni,

Fax: (+31-70) 340-3016

Authorized officer

Iris Hodzic

NOTES TO FORM PCT/ISA/220

These Notes are intended to give the basic instructions concerning the filing of amendments under article 19. The Notes are based on the requirements of the Patent Cooperation Treaty, the Regulations and the Administrative Instructions under that Treaty. In case of discrepancy between these Notes and those requirements, the latter are applicable. For more detailed Information, see also the *PCT Applicant's Guide*, a publication of WIPO.

in these Notes, "Article", "Rule", and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions, respectively.

INSTRUCTIONS CONCERNING AMENDMENTS UNDER ARTICLE 19

The applicant has, after having received the international search report and the written opinion of the International Searching Authority, one opportunity to amend the claims of the international application. It should however be emphasized that, since all parts of the international application (claims, description and drawings) may be amended during the international preliminary examination procedure, there is usually no need to file amendments of the claims under Article 19 except where, e.g. the applicant wants the latter to be published for the purposes of provisional protection or has another reason for amending the claims before international publication. Furthermore, it should be emphasized that provisional protection is available in some States only (see *PCT Applicant's Guide*, Volume I/A, Annexes B1 and B2).

The attention of the applicant is drawn to the fact that amendments to the claims under Article 19 are not allowed where the International Searching Authority has declared, under Article 17(2), that no international search report would be established (see *PCT Applicant's Guide*, Volume I/A, paragraph 296).

What parts of the international application may be amended?

Under Article 19, only the claims may be amended.

During the international phase, the claims may also be amended (or further amended) under Article 34 before the International Preliminary Examining Authority. The description and drawings may only be amended under Article 34 before the International Examining Authority.

Upon entry into the national phase, all parts of the international application may be amended under Article 28 or, where applicable, Article 41.

When?

Within 2 months from the date of transmittal of the international search report or 16 months from the priority date, whichever time limit expires later. It should be noted, however, that the amendments will be considered as having been received on time if they are received by the International Bureau after the expiration of the applicable time limit but before the completion of the technical preparations for international publication (Rule 46.1).

Where not to file the amendments?

The amendments may only be filed with the International Bureau and not with the receiving Office or the International Searching Authority (Rule 46.2).

Where a demand for international preliminary examination has been/is filed, see below.

How?

Either by cancelling one or more entire claims, by adding one or more new claims or by amending the text of one or more of the claims as filled.

A replacement sheet must be submitted for each sheet of the claims which, on account of an amendment or amendments, differs from the sheet originally filed.

All the claims appearing on a replacement sheet must be numbered in Arabic numerals. Where a claim is cancelled, no renumbering of the other claims is required. In all cases where claims are renumbered, they must be renumbered consecutively (Section 205(b)).

The amendments must be made in the language in which the international application is to be published.

What documents must/may accompany the amendments?

Letter (Section 205(b)):

The amendments must be submitted with a letter.

The letter will not be published with the international application and the amended claims. It should not be confused with the "Statement under Article 19(1)" (see below, under "Statement under Article 19(1)").

The letter must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

NOTES TO FORM PCT/ISA/220 (continued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether

- (i) the claim is unchanged;
- (ii) the claim is cancelled;
- (iii) the claim is new;
- (iv) the claim replaces one or more claims as filed;
- (v) the claim is the result of the division of a claim as filed.

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

- [Where originally there were 48 claims and after amendment of some claims there are 51]:
 "Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers;
 claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
- [Where originally there were 15 claims and after amendment of all claims there are 11]: "Claims 1 to 15 replaced by amended claims 1 to 11."
- [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:
 - "Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or "Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
- 4. [Where various kinds of amendments are made]: "Claims 1–10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

"Statement under article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims:

It must be in the language in which the international application is to be published.

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)."

it may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

Consequence if a demand for international preliminary examination has already been filed

If, at the time of filing any amendments and any accompanying statement, under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the time of filing the amendments (and any statement) with the international Bureau, also file with the International Preliminary Examining Authority a copy of such amendments (and of any statement) and, where required, a translation of such amendments for the procedure before that Authority (see Rules 55.3(a) and 62.2, first sentence). For further information, see the Notes to the demand form (PCT/IPEA/401).

If a demand for international preliminary examination is made, the written opinion of the international Searching Authority will, except in certain cases where the International Preliminary Examining Authority did not act as international Searching Authority and where it has notified the International Bureau under Rule 66.1bis(b), be considered to be a written opinion of the international Preliminary Examining Authority. If a demand is made, the applicant may submit to the International Preliminary Examining Authority a reply to the written opinion together, where appropriate, with amendments before the expiration of 3 months from the date of mailing of Form PCT/ISA/220 or before the expiration of 22 months from the priority date, whichever expires later (Rule 43bis.1(c)).

Consequence with regard to translation of the international application for entry into the national phase

The applicant's attention is drawn to the fact that, upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see the *PCT Applicant's Guide*, Volume II.

PATENT COOPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference	eant's or agent's file reference FOR FURTHER see Form FCT/ISA/220		see Form PCT/ISA/220				
HRB/P41115WO	ACTION	as well	as, where applicable, item 5 below.				
International application No.	International filing date (day/month/year)		(Earliest) Priority Date (day/month/year)				
PCT/GB2009/051135	08/09/2009		08/09/2008				
Applicant		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,					
BIOVAIL LABORATORIES INTERNATIONAL (BARBADOS) SRL							
This international search report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.							
This international search report consists of	of a total ofshe	ets.					
It is also accompanied by	a copy of each prior art document of	Ited in this	report.				
1. Basis of the report		one production of the second	and the property of the second se				
a. With regard to the language, the							
persons,	application in the language in which						
of a translation fu	e international application into mished for the purposes of internati	onal search	, which is the language (Rules 12.3(a) and 23.1(b))				
c. With regard to any nucle	c. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, see Box No. I.						
2. Certain claims were fou	Certain claims were found unsearchable (See Box No. II)						
3. Unity of invention is lac	3. Unity of invention is lacking (see Box No III)						
4. With regard to the title,							
the text is approved as su	the text is approved as submitted by the applicant						
the text has been established by this Authority to read as follows:							
DIHYDROTETRABENAZINE FOR TREATMENT OF ASTHMA							
5. With regard to the abstract,							
X the text is approved as submitted by the applicant							
			ity as it appears in Box No. IV. The applicant on report, submit comments to this Authority				
6. With regard to the drawings,							
a. the figure of the drawings to be published with the abstract is Figure No							
as suggested by	the applicant						
as selected by th	is Authority, because the applicant	alled to su	ggest a figure				
as selected by the	nis Authority, because this figure bet	ter characti	erizes the invention				
b. X none of the figures is to l	be published with the abstract						

INTERNATIONAL SEARCH REPORT

International application No PCT/GB2009/051135

a. classification of subject matter INV. A61K31/4745 A61P11/06

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols) A 5.1 K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, EMBASE, BIOSIS, BEILSTEIN Data, WPI Data, CHEM ABS Data

C. DOCUMENTS CONSIDERED TO BE RELEVANT						
Calegory*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.				
Y.	EP 0 839 805 A (MITSUI TOATSU CHEMICALS [JP] SCHERING AG [DE]) 6 May 1998 (1998-05-06) page 2, lines 26-28	1-15				
Y.	US 6 482 986 B1 (BOIGEGRAIN ROBERT [FR] ET AL) 19 November 2002 (2002-11-19) column 1, lines 7-14 column 18, line 38	1-15				
Y	WO 2007/017643 A (CAMBRIDGE LAB IRELAND LTD [IE]; DUFFIELD ANDREW JOHN [GB]) 15 February 2007 (2007-02-15) cited in the application page 7	1~15				
r richt de la company						

X Further documents are listed in the continuation of Box C.	X See patent family annex.
* Special categories of cited documents: *A* document defining the general state of the last which is not considered to be of particular relevance. *E* earlier document but published on or after the international filling date. *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified). *O* document referring to an oral disclosure, use, exhibition or other means. *P* document published prior to the international filling date but later than the priority date claimed.	"I" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention. "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone. "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combined with one or more other such documents, such combination being obvious to a person skilled in the art. "&" document member of the same patent family
Date of the actual completion of the International search 19 November 2009	Date of melling of the international search report 25/11/2009
Name and mailing address of the ISA/ European Patent Office, P.B. 5616 Patentiaan 2 NL – 2280 HV Filjswijk Tel. (431–70) 340–2040, Fax. (431–70) 340–3016	Authorized officer Steendijk, Martin

1

INTERNATIONAL SEARCH REPORT

International application No
PCT/GB2009/051135

ategory*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
	US 2006/173011 A1 (SHIN DEUG Y [KR] ET AL) 3 August 2006 (2006-08-03) claim 9	1-15
	LIGEIRO DE OLIVEIRA A P ET AL: "Effects of single or repeated amphetamine treatment and withdrawal on lung allergic inflammation in rats" INTERNATIONAL IMMUNOPHARMACOLOGY, ELSEVIER, AMSTERDAM, NL, vol. 8, no. 9, 1 September 2008 (2008-09-01), pages 1164-1171, XP022819478 ISSN: 1567-5769 [retrieved on 2008-04-11] abstract	1-15
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INTERNATIONAL SEARCH REPORT

information on patent family members

international application No PCT/GB2009/051135

Patent document ited in search report		Publication date	otanopolitada ===+	Patent family member(s)	Publication date
EP 0839805	A	06-05-1998	DE	69707080 D1	08-11-2001
			DE	69707080 T2	02-05-2002
			ES	2163717 T3	01-02-2002
ON: SECTS CALLE CACK TACK, TACK, NATH, MAID, MAID, Shiper wants from American Control Color	et nickly own i dead ganglegan	unun unten salam latan salam sana, sana, mana napa nahap, nahar tahar daria daria dari	US	5969138 A	19-10-1999
JS 6482986	В1	19-11-2002	AT	252542 T	15-11-2003
			AU	768420 B2	11-12-2003
			AU	5539600 A	02-01-2001
			BR	0011738 A	05-03-2002
			CA	2374631 A1	21-12-2000
			CN	1355782 A	26-06-2002
			00	5180554 A1	30-07-2002
			CZ DE	20014443 A3 60006113 D1	15-05-2002 27-11-2003
			DE	60006113 T2	15-07-2004
			DK	1192122 T3	01-03-2004
			EP	1192122 A1	03-04-2002
			ES	2208345 T3	16-06-2004
			WO	0076953 A1	21-12-2000
			FR	2794742 A1	15-12-2000
			HK	1042891 A1	08-04-2004
			HU	0201953 A2	28-12-2002
			JP	2003502306 T	21-01-2003
			MX	PA01012783 A	18-09-2002
			NO	20016038 A	11-02-2002
			ΝZ	515529 A	30-01-2004
			PL	352742 A1 1192122 E	08-09-2003 31-03-2004
			PT SK	18062001 A3	
			TW	279398 B	21-04-2007
			UA	71959 C2	15-03-2002
			ŨΥ	26199 AI	31-01-2001
			ZA	200109486 A	18-11-2002
WO 2007017643	A	15-02-2007	AT	412414 T	15-11-2008
			AU	2006277836 A1	15-02-2007
			CA	2620952 A1	15-02-2007
			CN	101321528 A	10-12-200
			DK	1861100 T3	
			EP	1861100 A1	
			EP re	1964565 A1	
			E.S HK	2317564 T3 1111084 A1	
			HR	20090017 T3	
			JP	20090017 13 2009503045 T	29-01-200
			KR	20080033501 A	16-04-200
			PT	1861100 E	26-12-200
			SI	1861100 T1	
			US	2009275605 A1	
US 2006173011		03-08-2006	CN	101106993 A	16-01-200
			EP	1845987 A2	24-10-200
			WO	2006092741 A2	
			JP	2008526953 T	24-07-200
			KR	20060083612 A	21-07-200
			US	2008300253 A1	04-12-200

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY To: WRITTEN OPINION OF THE see form PCT/ISA/220 INTERNATIONAL SEARCHING AUTHORITY (PCT Rule 43bis.1) Date of mailing (day/month/year) see form PCT/ISA/210 (second sheet) Applicant's or agent's file reference FOR FURTHER ACTION see form PCT/ISA/220 See paragraph 2 below international application No. International filing date (daymonth/year) Priority date (day/month/year) PCT/GB2009/051135 08.09.2009 08.09.2008 International Patent Classification (IPC) or both national classification and IPC INV. A61K31/4745 A61P11/06 Applicant BIOVAIL LABORATORIES INTERNATIONAL (BARBADOS) SRL This opinion contains indications relating to the following items: Box No. 1 Basis of the opinion Box No. II Priority Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability ☐ Box No. IV Lack of unity of invention Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement ☐ Box No. VI Certain documents cited Box No. VII Certain defects in the international application Box No. VIII Certain observations on the international application **FURTHER ACTION** If a demand for international preliminary examination is made, this opinion will usually be considered to be a written opinion of the International Preliminary Examining Authority ("IPEA") except that this does not apply where the applicant chooses an Authority other than this one to be the IPEA and the chosen IPEA has notifed the International Bureau under Rule 56.1 bis(b) that written opinions of this International Searching Authority will not be so considered. If this opinion is, as provided above, considered to be a written opinion of the IPEA, the applicant is invited to submit to the IPEA a written reply together, where appropriate, with amendments, before the expiration of 3 months from the date of mailing of Form PCT/ISA/220 or before the expiration of 22 months from the priority date, whichever expires later. For further options, see Form PCT/ISA/220. For further details, see notes to Form PCT/ISA/220. Name and mailing address of the ISA: Date of completion of **Authorized Officer** this opinion European Patent Office see form Steendijk, Martin PCT/ISA/210 D-80298 Munich Telephone No. +49 89 2399-3460 Tel. +49 89 2399 - 0

Fax: +49 89 2399 - 4465

WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY

International application No. PCT/GB2009/051135

	Box	x Ne	o. I Basis of the opinion					
1.	With regard to the language, this opinion has been established on the basis of:							
	Ø	the	international application in the language in which it was filed					
			ranslation of the international application into , which is the language of a translation furnished for the rposes of international search (Rules 12.3(a) and 23.1 (b)).					
2.			is opinion has been established taking into account the rectification of an obvious mistake authorized or notified to this Authority under Rule 91 (Rule 43bis.1(a))					
3.	With regard to any nucleotide and/or amino acid sequence disclosed in the international application and necessary to the claimed invention, this opinion has been established on the basis of:							
	a. type of material:							
			a sequence listing					
			table(s) related to the sequence listing					
	b, format of material:							
			on paper					
			in electronic form					
	c. time of filing/furnishing:							
	☐ contained in the international application as filed.							
			filed together with the international application in electronic form.					
			furnished subsequently to this Authority for the purposes of search.					
4.		h: C(addition, in the case that more than one version or copy of a sequence listing and/or table relating thereto is been filed or furnished, the required statements that the information in the subsequent or additional opies is identical to that in the application as filed or does not go beyond the application as filed, as oppopriate, were furnished.					
5.	Ad	Additional comments:						

Box No. V Reasoned statement under Rule 43*bis*.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)

Yes: Claims

1-15

No: Claims

Inventive step (IS)

Yes: Claims

No: Claims 1-15

Industrial applicability (IA)

Yes: Claims

1-15

No: Claims

2. Citations and explanations

see separate sheet

Box No. VIII Certain observations on the international application

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

see separate sheet

1) The present application relates to 3,11-cis-dihydrotetrabenazine for treatment of asthma.

2) Cited documents

D1: EP-A-0 839 805

D2: US-B1-6 482 986

D3: WO 2007/017643 A

D4: US 2006/173011 A1

D5: INTERN. IMMUNOPHARM., vol. 8, no. 9, (2008-09-01), pages 1164-1171

3) Novelty

Documents D1 and D2 describe certain sigma receptor antagonists to be useful for treatment of i.a. asthma. These documents do not mention dihydrotetrabenazine.

Document D3 refers to the sigma receptor binding activity of dihydrotetrabenazine following which it discloses the utility of this agent in treatment of inflammatory and proliferative disorders. The document fails to specifically describe the use of the agent for treatment of asthma.

Document D4 describes the use of praziquantel for treatment of i.a. asthma. This agent differs from dihydrotetrabenazine in the nature of the fused ringsystem as well its the substitutions.

Document D5 describes the effects of amphetamine administration on lung allergic inflammation and mentions some possible involvement of VMAT2. The document does not mention dihydrotetrabenazine.

Accordingly, the claimed subject-matter may be acknowledged novelty.

4) Inventive step

The present application shows experimental data indicating beneficial activity of a dihydrotetrabenazine stereoisomer (RUS0350, isomer B) in a test model for asthma.

Documents D1 and D2 already disclose the utility for treatment of asthma of

PCT/GB2009/051135

certain agents due to their sigma receptor antagonist activity. In view of this prior art the problem to be solved may be seen in the provision of further (sigma receptor binding) agents useful in treatment of asthma.

The person skilled in the art faced with such problem would arrive at document D3 as this document describes antiinflammatory utility of dihydrotetrabenazine in view of its sigma receptor binding/antagonist activity and actually mentions in this context utility against chronic pulmonary inflammatory disease (see page 10). Accordingly, the person skilled in the art would conclude that dihydrotetrabenazine will act as an alternative sigma receptor and would in line with documents D1 and D2 be suitable for treatment of asthma.

The dependent claims do not appear to define any features which could by themselves further support an inventive step.

- 5) Further observations
- 5.1 Claims 11-15 relate to subject-matter considered by this Authority to be covered by the provisions of Rule 39.1(iv) / 67.1(iv) PCT.
- 5.2 Claim 15 refers to the description, whereas the claims should be clear per se.

Possible steps after receipt of the international search report (ISR) and written opinion of the International Searching Authority (WO-ISA)

General information

For all international applications filed on or after 01/01/2004 the competent ISA will establish an ISR It is accompanied by the WO-ISA. Unlike the former written opinion of the IPEA (Rule 66.2 PCT), the WO-ISA is not meant to be responded to, but to be taken into consideration for further procedural steps. This document explains about the possibilities.

under Art. 19 PCT

Amending claims. Within 2 months after the date of mailing of the ISR and the WO-ISA the applicant may file amended claims under Art. 19 PCT directly with the International Bureau of WIPO. The PCT reform of 2004 did not change this procedure. For further information please see Rule 46 PCT as well as form PCT/ISA/220 and the corresponding Notes to form PCT/ISA/220.

Filing a demand for international preliminary examination

In principle, the WO-ISA will be considered as the written opinion of the IPEA. This should, in many cases, make it unnecessary to file a demand for international preliminary examination. If the applicant nevertheless wishes to file a demand this must be done before expiry of 3 months after the date of mailing of the ISR/WO-ISA or 22 months after priority date, whichever expires later (Rule 54bis PCT). Amendments under Art. 34 PCT can be filed with the IPEA as before, normally at the same time as filling the demand (Rule 66.1 (b) PCT).

If a demand for international preliminary examination is filed and no comments/amendments have been received the WO-ISA will be transformed by the IPEA into an IPRP (International Preliminary Report on Patentability) which would merely reflect the content of the WO-ISA. The demand can still be withdrawn (Art. 37 PCT).

Filing informal comments

After receipt of the ISR/WO-ISA the applicant may file informal comments on the WO-ISA directly with the International Bureau of WIPO. These will be communicated to the designated Offices together with the IPRP (International Preliminary Report on Patentability) at 30 months from the priority date. Please also refer to the next box.

End of the international phase

At the end of the international phase the International Bureau of WIPO will transform the WO-ISA or, if a demand was filed, the written opinion of the IPEA into the IPRP, which will then be transmitted together with possible informal comments to the designated Offices. The IPAP replaces the former IPER (international preliminary examination report).

Relevant PCT Rules and more information

Rule 43 PCT, Rule 43bis PCT, Rule 44 PCT, Rule 44bis PCT, PCT Newsletter 12/2003, OJ 11/2003, OJ 12/2003

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